

FIG. 1

20

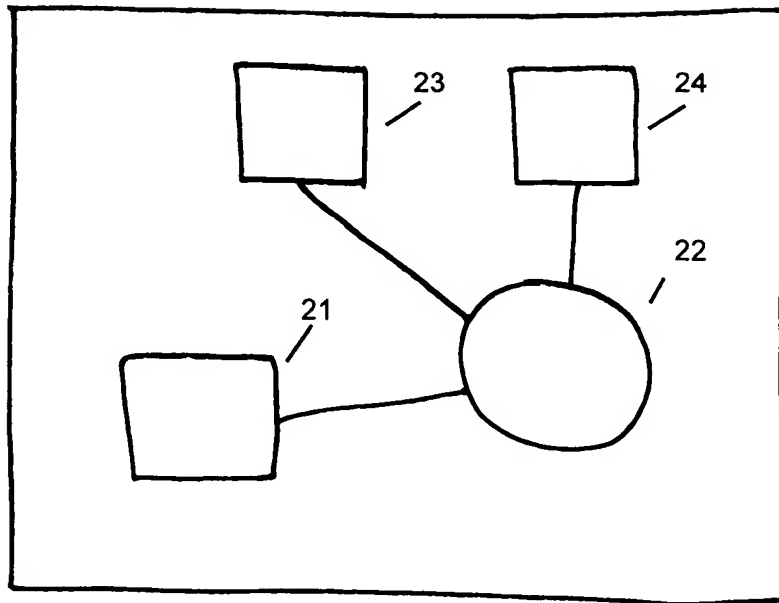


FIG. 2

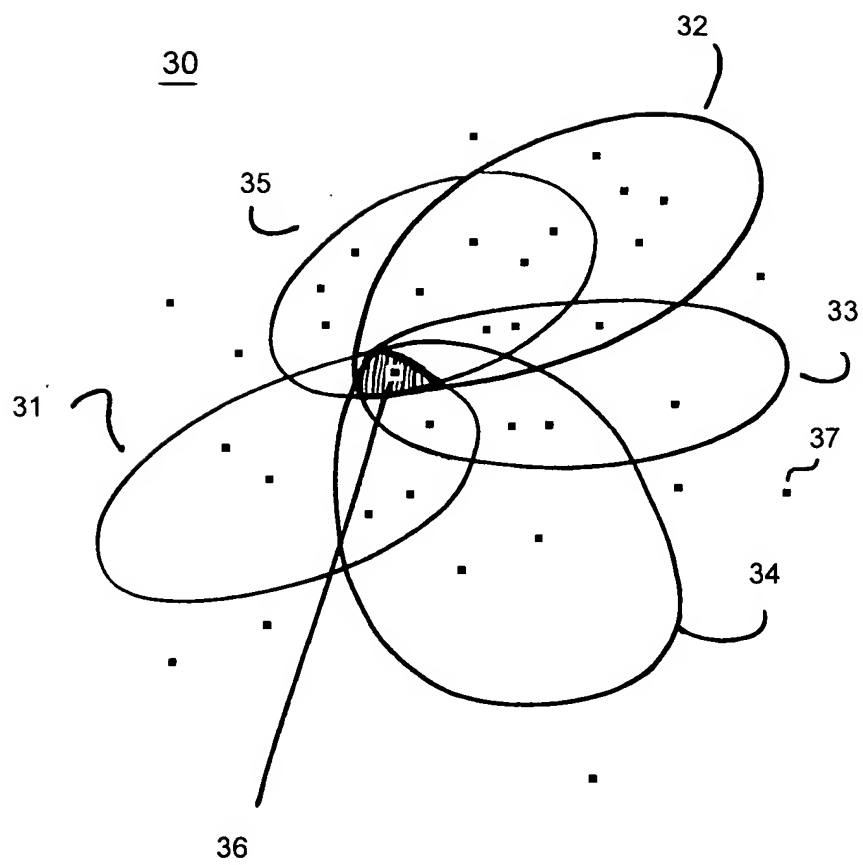


FIG. 3

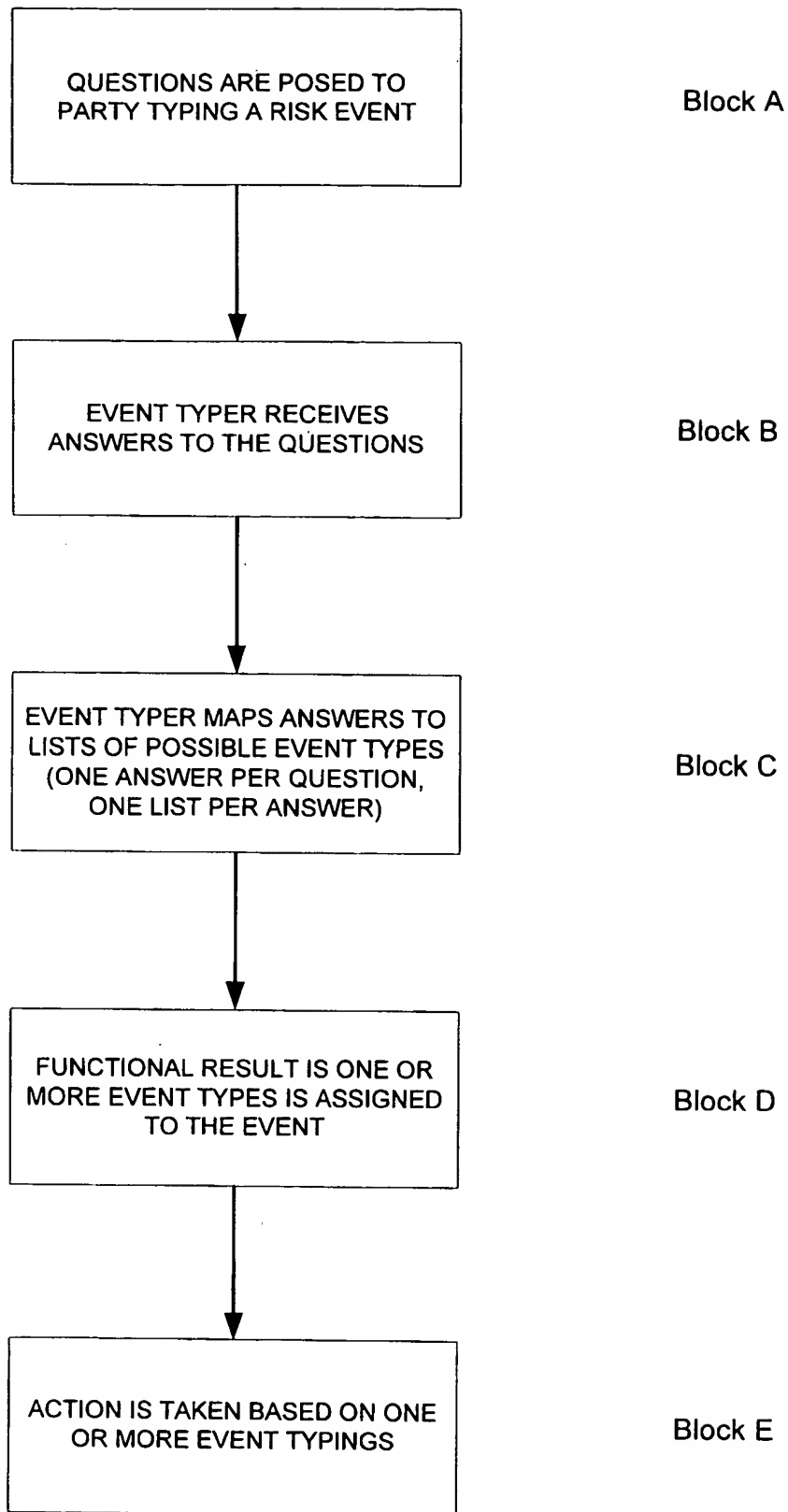


FIG. 4

Microsoft Access: [rmfcaseinput3 form]

File Edit View Insert Format Records Tools Window Help

Tahoma 9 - B I U L R E T A . . .

Risk Event Database: Event Type Wizard

Question 1
Who (what) initiated the event?
Note: In case of litigation, the Plaintiff is usually the IMPACTED party, NOT the Initiator. In fact, the Plaintiff usually SUES the Initiator. Event Type is based on Plaintiff's allegation, in addition, even if the allegation is false!

Employee (Internal) w/Confederates
Review Initiator Choices

Question 2
What was benefit to Initiator?
Personal Benefit
Review Benefit Types

Question 3
Who (what) was Impacted?
Client
Review Impacted Choices

Question 4
What impact was incurred by JPMC, or was JPMC liable for?
Financial (Indirect, to client / 3rd Party)
Review Impact Types

Question 5
What the Initiator's role / level of responsibility in the event?
Employee Conducting Internal, Non-Fraud Task
Review Levels

Event Types:
Theft/Fraud (Internal)
Find Event Type Matches
Clear All

To Table View

Record: 1 of 1
Ready

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Start | End | C:ID... | Rch... | People... | RED... | RED... | Evolu... | Even... | JPMc... | 1:53 PM

FIG. 5

Decision Mappings of COR "Event Typer" : Question 1

Event Type	Initiator
Theft/Fraud (external)	Employee (External)
Theft/Fraud (external)	External Person / Anybody
Theft/Fraud (external)	Client
Theft/Fraud (external)	Partner, Co-Venturer
Theft/Fraud (external)	Unknown
Theft/Fraud (internal)	Employee (Internal)
Theft/Fraud (internal)	Employee (Internal) w/Confederates
Unauthorized Trading	Employee (Internal)
Information Security	Hacker
Personal Safety	Employee (Internal)
Personal Safety	External Person / Anybody
Personal Safety	Client
Personal Safety	Unknown
Employee Relations	Employee (Internal)
Diversity/Discrimination	Employee (Internal)
Diversity/Discrimination	Employee (Internal) w/Confederates
Natural Disaster	External Force (Natural)
Natural Disaster	External Force (Infrastructure)
Terrorism / Political	Terrorist / Activist
Malicious Damage	Employee (Internal)
Malicious Damage	Employee (Internal) w/Confederates
Malicious Damage	Employee (External)
Malicious Damage	External Person / Anybody
Malicious Damage	Client
Malicious Damage	Partner, Co-Venturer
Malicious Damage	Hacker
Disclosure, Suitability & Fiduciary	Employee (Internal)
Improper Business Practices (by firm)	Employee (Internal)
Improper Business Practices (by firm)	Employee (Internal) w/Confederates
Improper Business Practices (by firm)	Client
Improper Business Practices (as victim)	Employee (External)
Tax Violation	Employee (Internal)
Advisory Activities	Employee (Internal)
Sponsorship & Selection	Employee (Internal)
Regulatory Monitoring / Reporting	Employee (Internal)
Transaction Processing	Employee (Internal)
Client Account Error	Employee (Internal)
System Failure	Computer or Data System
Vendor Dispute	Employee (External)

FIG. 6A

**Decision Mappings of COR "Event Typer" :
Question 2**

Event Type	Benefit to Initiator
Theft/Fraud (external)	Personal Benefit
Theft/Fraud (internal)	Personal Benefit
Unauthorized Trading	Personal Benefit
Information Security	Personal Benefit
Information Security	Non-Financial Personal Benefit / Motive
Information Security	Benefit to Another Firm
Personal Safety	No Benefit Intended / Mistake
Employee Relations	Benefit to Firm
Diversity/Discrimination	Non-Financial Personal Benefit / Motive
Natural Disaster	No Benefit Intended / Mistake
Terrorism / Political	Personal Benefit
Terrorism / Political	Non-Financial Personal Benefit / Motive
Malicious Damage	Non-Financial Personal Benefit / Motive
Disclosure, Suitability & Fiduciary	Benefit to Firm
Improper Business Practices (by firm)	Benefit to Firm
Improper Business Practices (as victim)	Benefit to Another Firm
Tax Violation	Benefit to Firm
Advisory Activities	Benefit to Firm
Sponsorship & Selection	Benefit to Firm
Regulatory Monitoring / Reporting	No Benefit Intended / Mistake
Transaction Processing	No Benefit Intended / Mistake
Client Account Error	No Benefit Intended / Mistake
System Failure	No Benefit Intended / Mistake
Vendor Dispute	Benefit to Firm

FIG. 6B

Decision Mappings of COR "Event Typer" : Question 3

Event Type	Impacted
Theft/Fraud (external)	Firm / Shareholders
Theft/Fraud (external)	Client
Theft/Fraud (external)	Another Firm
Theft/Fraud (internal)	Firm / Shareholders
Theft/Fraud (internal)	Client
Theft/Fraud (internal)	Member of General Public / Anybody
Unauthorized Trading	Firm / Shareholders
Information Security	Firm / Shareholders
Information Security	Employee
Information Security	Client
Personal Safety	Employee
Personal Safety	Client
Personal Safety	Member of General Public / Anybody
Employee Relations	Employee
Diversity/Discrimination	Employee
Diversity/Discrimination	Client
Diversity/Discrimination	Member of General Public / Anybody
Natural Disaster	Firm / Shareholders
Natural Disaster	Employee
Natural Disaster	Client
Natural Disaster	Multiple
Terrorism / Political	Firm / Shareholders
Terrorism / Political	Employee
Terrorism / Political	Client
Terrorism / Political	Multiple
Malicious Damage	Firm / Shareholders
Malicious Damage	Employee
Malicious Damage	Client
Malicious Damage	Member of General Public / Anybody
Malicious Damage	Multiple
Disclosure, Suitability & Fiduciary	Client
Improper Business Practices (by firm)	Firm / Shareholders
Improper Business Practices (by firm)	Employee
Improper Business Practices (by firm)	Client
Improper Business Practices (by firm)	Another Firm
Improper Business Practices (by firm)	Member of General Public / Anybody
Improper Business Practices (by firm)	Regulatory / Public or Governmental Interest
Improper Business Practices (as victim)	Firm / Shareholders
Tax Violation	Regulatory / Public or Governmental Interest
Advisory Activities	Client
Sponsorship & Selection	Firm / Shareholders
Regulatory Monitoring / Reporting	Member of General Public / Anybody
Regulatory Monitoring / Reporting	Regulatory / Public or Governmental Interest
Transaction Processing	Firm / Shareholders
Transaction Processing	Client
Transaction Processing	Another Firm
Client Account Error	Client
System Failure	Firm / Shareholders
System Failure	Client
System Failure	Another Firm
Vendor Dispute	Firm / Shareholders
Vendor Dispute	Another Firm

FIG. 6C

Decision Mappings of COR "Event Typer" : Question 4

Event Type	Impact Type
Theft/Fraud (external)	Financial (direct)
Theft/Fraud (external)	Financial (indirect, to client / 3rd Party)
Theft/Fraud (external)	Trading / Market Impact
Theft/Fraud (external)	Physical Injury
Theft/Fraud (external)	Physical or Intellectual Property Loss / Damage
Theft/Fraud (internal)	Financial (direct)
Theft/Fraud (internal)	Financial (indirect, to client / 3rd Party)
Theft/Fraud (internal)	Physical or Intellectual Property Loss / Damage
Theft/Fraud (internal)	Fine / Penalty
Unauthorized Trading	Trading / Market Impact
Information Security	Financial (direct)
Information Security	Financial (indirect, to client / 3rd Party)
Information Security	Human, Personal, Privacy Rights
Personal Safety	Physical Injury
Employee Relations	Financial (direct)
Employee Relations	Financial (indirect, to client / 3rd Party)
Diversity/Discrimination	Physical Injury
Diversity/Discrimination	Human, Personal, Privacy Rights
Natural Disaster	Financial (indirect, to client / 3rd Party)
Natural Disaster	Trading / Market Impact
Natural Disaster	Physical Injury
Natural Disaster	Physical or Intellectual Property Loss / Damage
Natural Disaster	Failed Recourse
Natural Disaster	Multiple
Terrorism / Political	Financial (direct)
Terrorism / Political	Financial (indirect, to client / 3rd Party)
Terrorism / Political	Trading / Market Impact
Terrorism / Political	Physical Injury
Terrorism / Political	Human, Personal, Privacy Rights
Terrorism / Political	Physical or Intellectual Property Loss / Damage
Terrorism / Political	Failed Recourse
Terrorism / Political	Multiple
Malicious Damage	Financial (direct)
Malicious Damage	Financial (indirect, to client / 3rd Party)
Malicious Damage	Physical or Intellectual Property Loss / Damage
Disclosure, Suitability & Fiduciary	Financial (indirect, to client / 3rd Party)
Improper Business Practices (by firm)	Financial (direct)
Improper Business Practices (by firm)	Financial (indirect, to client / 3rd Party)
Improper Business Practices (by firm)	Trading / Market Impact
Improper Business Practices (by firm)	Human, Personal, Privacy Rights
Improper Business Practices (by firm)	Physical or Intellectual Property Loss / Damage
Improper Business Practices (by firm)	Fine / Penalty
Improper Business Practices (as victim)	Financial (direct)
Improper Business Practices (as victim)	Trading / Market Impact
Improper Business Practices (as victim)	Physical or Intellectual Property Loss / Damage

FIG. 6D

**Decision Mappings of COR "Event Typer" :
Question 4 (part II)**

Event Type	Impact Type
Tax Violation	Financial (direct)
Tax Violation	Fine / Penalty
Tax Violation	Multiple
Advisory Activities	Financial (indirect, to client / 3rd Party)
Sponsorship & Selection	Fine / Penalty
Sponsorship & Selection	Failed Recourse
Regulatory Monitoring / Reporting	Fine / Penalty
Transaction Processing	Financial (direct)
Transaction Processing	Financial (indirect, to client / 3rd Party)
Transaction Processing	Trading / Market Impact
Transaction Processing	Failed Recourse
Transaction Processing	Multiple
Client Account Error	Financial (indirect, to client / 3rd Party)
System Failure	Financial (direct)
System Failure	Financial (indirect, to client / 3rd Party)
System Failure	Trading / Market Impact
System Failure	Multiple
Vendor Dispute	Financial (indirect, to client / 3rd Party)

FIG. 6E

Decision Mappings of COR "Event Typer" : Question 5

Event Type	Duty Type
Theft/Fraud (external)	Ordinary Contractual / Commercial Counterparty
Theft/Fraud (external)	Member of General Public / Ordinary Citizen
Theft/Fraud (external)	Not Sure / Not Applicable
Theft/Fraud (external)	Employee Conducting Internal, Non-Fiduciary Task
Theft/Fraud (external)	Inv Manager / Fiduciary / Trustee / Duty of Care
Theft/Fraud (internal)	Not Sure / Not Applicable
Theft/Fraud (internal)	Ordinary Contractual / Commercial Counterparty
Theft/Fraud (internal)	Inv Manager / Fiduciary / Trustee / Duty of Care
Theft/Fraud (internal)	Member of General Public / Ordinary Citizen
Theft/Fraud (internal)	Employee Conducting Internal, Non-Fiduciary Task
Unauthorized Trading	Member of General Public / Ordinary Citizen
Unauthorized Trading	Employee Conducting Internal, Non-Fiduciary Task
Unauthorized Trading	Not Sure / Not Applicable
Information Security	Member of General Public / Ordinary Citizen
Information Security	Not Sure / Not Applicable
Information Security	Employee Conducting Internal, Non-Fiduciary Task
Personal Safety	Member of General Public / Ordinary Citizen
Personal Safety	Not Sure / Not Applicable
Employee Relations	Employer
Diversity/Discrimination	Member of General Public / Ordinary Citizen
Diversity/Discrimination	Employee Conducting Internal, Non-Fiduciary Task
Diversity/Discrimination	Ordinary Contractual / Commercial Counterparty
Diversity/Discrimination	Employer
Natural Disaster	Member of General Public / Ordinary Citizen
Natural Disaster	No Role or Responsibility
Natural Disaster	Not Sure / Not Applicable
Terrorism / Political	Employee Conducting Internal, Non-Fiduciary Task
Terrorism / Political	Member of General Public / Ordinary Citizen
Terrorism / Political	Not Sure / Not Applicable
Malicious Damage	Not Sure / Not Applicable
Malicious Damage	Member of General Public / Ordinary Citizen
Malicious Damage	Vicarious Responsibility for employee, agent, etc
Malicious Damage	Party to Specifically Negotiated Contract
Malicious Damage	Employee Conducting Internal, Non-Fiduciary Task
Malicious Damage	Inv Manager / Fiduciary / Trustee / Duty of Care
Malicious Damage	Ordinary Contractual / Commercial Counterparty
Malicious Damage	Under Duty to Disclose / Offer Suitable Deals
Disclosure, Suitability & Fiduciary	Inv Manager / Fiduciary / Trustee / Duty of Care
Disclosure, Suitability & Fiduciary	Under Duty to Disclose / Offer Suitable Deals
Improper Business Practices (by firm)	Member of General Public / Ordinary Citizen
Improper Business Practices (by firm)	Ordinary Contractual / Commercial Counterparty
Improper Business Practices (by firm)	Party to Specifically Negotiated Contract
Improper Business Practices (by firm)	Not Sure / Not Applicable
Improper Business Practices (by firm)	Employee Conducting Internal, Non-Fiduciary Task
Improper Business Practices (as victim)	Ordinary Contractual / Commercial Counterparty
Improper Business Practices (as victim)	Party to Specifically Negotiated Contract
Improper Business Practices (as victim)	Not Sure / Not Applicable

**Decision Mappings of COR "Event Typer" :
Question 5 (part II)**

Event Type	Duty Type
Tax Violation	Not Sure / Not Applicable
Tax Violation	Member of General Public / Ordinary Citizen
Advisory Activities	Inv Manager / Fiduciary / Trustee / Duty of Care
Advisory Activities	Party to Specifically Negotiated Contract
Advisory Activities	Ordinary Contractual / Commercial Counterparty
Sponsorship & Selection	Employee Conducting Internal, Non-Fiduciary Task
Regulatory Monitoring / Reporting	Under Duty to Disclose / Offer Suitable Deals
Regulatory Monitoring / Reporting	Ordinary Contractual / Commercial Counterparty
Regulatory Monitoring / Reporting	Employee Conducting Internal, Non-Fiduciary Task
Regulatory Monitoring / Reporting	Vicarious Responsibility for employee, agent, etc
Regulatory Monitoring / Reporting	Not Sure / Not Applicable
Transaction Processing	Employee Conducting Internal, Non-Fiduciary Task
Transaction Processing	Ordinary Contractual / Commercial Counterparty
Transaction Processing	Party to Specifically Negotiated Contract
Client Account Error	Employee Conducting Internal, Non-Fiduciary Task
System Failure	Member of General Public / Ordinary Citizen
System Failure	Not Sure / Not Applicable
System Failure	No Role or Responsibility
System Failure	Party to Specifically Negotiated Contract
System Failure	Employee Conducting Internal, Non-Fiduciary Task
System Failure	Ordinary Contractual / Commercial Counterparty
System Failure	Inv Manager / Fiduciary / Trustee / Duty of Care
Vendor Dispute	Ordinary Contractual / Commercial Counterparty
Vendor Dispute	Party to Specifically Negotiated Contract